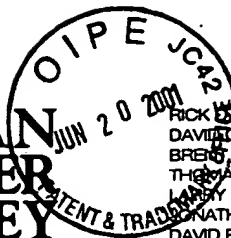


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PATENT APPLICATION

Docket No: 13801.26

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Bradley H. Clements, et al.

Serial No.: 09/829,899

Filed: April 10, 2001

Confirmation No.: 8564

For: METHODS AND SYSTEMS FOR TRACKING
STORAGE RESOURCES ASSOCIATED WITH
A DOCUMENT DISTRIBUTION SYSTEM

Art Unit
2161

#2
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TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of twenty-eight (28) references submitted for consideration.
- ☒ Legible copies of the listed references or their relevant portions.
- ☒ All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

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The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

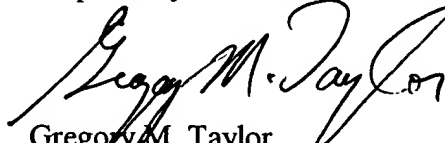
- ___ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.
- ___ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ___ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ___ Promptness Certification.
- ___ Check No. _____ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);
- ___ Petition for Consideration and Check No. _____ in the amount of \$ _____.
- ___ In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 18th day of June, 2001.

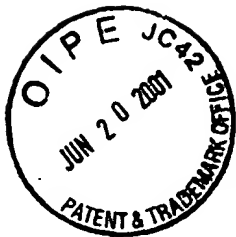
Respectfully submitted,



Gregory M. Taylor
Attorney for Applicant
Registration No. 34,263



022913



PATENT APPLICATION

Docket No: 13801.26

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Bradley H. Clements, et al.

Serial No.: 09/829,899

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For: METHODS AND SYSTEMS FOR TRACKING
STORAGE RESOURCES ASSOCIATED WITH
A DOCUMENT DISTRIBUTION SYSTEM

Art Unit
2161

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CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 18, 2001.


Gregory M. Taylor
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Transmitted: Transmittal for Information
Disclosure Statement
Information Disclosure Statement
Form PTO-1449 Listing of All References
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Enclosures

Docket: 13801.26

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Docket No: 13801.26

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

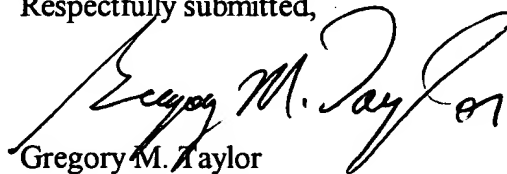
Statement of Relevance of References Listed
Unaccompanied by English Translation
Under 37 C.F.R. § 1.98(a)(3)

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 18th day of June, 2001.

Respectfully submitted,



Gregory M. Taylor
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Applicants: Bradley H. Clements, et al.

Serial No.: 09/829,889

Att'y Docket No. 13801.26

Filing Date: April 10, 2001

Group: 2161

For: METHODS AND SYSTEMS FOR TRACKING STORAGE RESOURCES
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INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

Examiner Initial*	Patent Number	Issue Date	Name	Class	Sub Class	Filing Date
_____ A1	Des. 399,836	10/20/98	Wu, et al	D14	114.2	05/20/97
_____ A2	5,432,928	07/11/95	Sherman	395	600	11/10/92
_____ A3	5,488,717	01/30/96	Gibson, et al	395	600	07/06/92
_____ A4	5,548,759	08/20/96	Lipe	395	600	01/11/96
_____ A5	5,551,028	08/27/96	Voll, et al	395	600	02/18/95
_____ A6	5,588,147	12/24/96	Neeman, et al	395	601	01/14/94
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_____ A8	5,790,790	08/04/98	Smith, et al	395	200.36	10/24/96
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_____ A10	5,832,518	11/03/98	Mastors	707	202	04/13/98
_____ A11	5,832,526	11/03/98	Schuyler	707	205	01/24/96
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_____ A14	5,930,797	07/27/99	Hill	707	101	04/15/97
_____ A15	6,182,080	01/30/01	Clements	707	102	09/12/97

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner
Initial*

_____ A16 Brockschmidt, K., *Inside Ole*, Second Edition, Chapter 16, Microsoft Press, pp. 761-808, 1995

_____ A17 Terry, et al, "Managing Update Conflicts in Bayou, a Weakly Connected Replicated Storage System," Proceedings 15th Symposium on Operating Systems Principles (SOSP-15), pp. 172-183, Dec. 1995

_____ A18 IBM Cryptolope Containers, IBM Info Market, <http://www.infomart.ibm.com/ht3/crypto.htm>, pp. 1-3, Nov.

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Sheet 2 of 2

Att'y Docket No. 13801.26

Group: 2161

METHODS AND SYSTEMS FOR TRACKING STORAGE RESOURCES
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17, 1995

- ____ A19 Cryptolope Container Technology, <http://www.cryptolope.ibm.com/white.htm>, pp. 1-16, March 21, 1997
- ____ A20 IBM Cryptolope Home, <http://www.cryptolope.ibm.com/product.htm>, pp. 1-7, Aug. 7, 1997
- ____ A21 The RealSpace Imaging Solution, realspace wpaper, pp. 106, 1997
- ____ A22 Microsoft Office 97 Binder web pages, Office 97-Workgroup Whitepaper, 1996
- ____ A23 Knowledge Base, Fast Tips: "Binder Questions and Answers," created Aug. 28, 1995 and revised September 16, 1996
- ____ A24 Microsoft Office 97 Binder File Format, available on Internet by at least August 26, 1997
- ____ A25 CI Labs, *Open Doc: The New Shape of Software*, 1994
- ____ A26 OLE Documents: *Technical Background*, May 1994
- ____ A27 Chapter 5 of *ActiveX Ole*, by David Chappell, Published by Microsoft Press, 1996
- ____ A28 Chapter 7 of *Inside OLE*, by Craig Brockschmidt, Published by Microsoft Press, 1995

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References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initiated by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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